Commissioner of Securities and Insurance at the State Auditor's Office

Agency Information Technology Performance Report
2017 Biennial Report

MCA 2-17-521(4) requires the Department of Administration to prepare a biennial report on Information Technology (IT) based on the Agency IT Plans and Performance Reports required under MCA 2-17-524.

This performance report evaluates progress made towards the objectives articulated in your 2014 Agency IT Plan, which can be found at:
https://ent-sp1.mt.gov/sites/bienrpt/_layouts/15/start.aspx#/Agency%20Information/Forms/AllItems.aspx.

Please answer each section below based on your 2014 Agency IT Plan (*add lines to the tables as needed*).

Section 1: An evaluation of the Agency's performance relating to IT (MCA 2-17-524(3)(a)).
- Referencing the goals and objectives noted in Section 10 of your 2014 Agency IT plan, please fill in the table below with the information for each goal and objective.
  - 2014 Agency IT plans can be found in your Agency folder located at https://ent-sp1.mt.gov/sites/bienrpt/_layouts/15/start.aspx#/Agency%20Information/Forms/AllItems.aspx.
- Please provide an update on the efforts to implement your Agency 2014 IT goals and objectives. Your update may include how a goal/objective has advanced the Agency mission.

GOAL	OBJECTIVES	UPDATE
Provide safe and secure IT environments, security tools, and business processes that protect critical data and minimize the risk of interruptions.	Ensure that sufficient management resources are available to maintain a secure technology environment.	Formulated and adopted IT policies, addressed needs and priorities by planning, implementing and managing the best information technology solutions available.
Balanced Management of information and technology to provide effective systems to meet the needs of our Agency.	To ensure IT's infrastructure and services are aligned with the Agency's direction and priorities. Assessing new IT initiatives and emergent technologies to meet the Agency's mission, goals and priorities.	CSI utilizes an IT Governance Committee comprised of the executive officers who review, approve, and make final decisions on matters in accordance with the agency strategic goals and initiatives. This group meets quarterly to review progress and make continued recommendations on availability, security and continuity of IT services for the Agency as well as to share best practices and foster communication for the Agency.
Modernize Critical Legacy Technologies	Despite their obsolescence, legacy systems continue to provide a competitive advantage through supporting unique business processes and containing invaluable knowledge and historical data.	This project is scheduled for completion by the end of 2016.
Be flexible and responsive to changing priorities and requirements	To adapt and work effectively within a variety of situations and with various individuals or groups.	Strive to provide Montana citizens, and staff with convenient access to appropriate information and services through technology.
Efficient and effective use of	Annual IT spending will be	Maintain budget management for

resources and funds	delivered within budget, achieving outcomes as required.	all IT related spending, maintain reliable and up to date asset information.
Employee Development	Equip the IT department with the right tools and training. Challenge and leverage IT Department skills and abilities to support technology infrastructure and implement CSI's technology vision. CSI's technology vision goal is to ensure that training exists for the successful completion of all phases of the project lifecycle, from concept to completion.	Invested in education and training opportunities for the technical staff to learn new technologies for continuous improvement and development to support current and future infrastructure operations.
Mobile Data Management	Establish mobile strategies to leverage mobile solutions to improve overall access to information and services offered.	Have joined all mobile devices receiving email to the state's mobile device management service – Airwatch.

Section 2: An assessment of progress made toward implementing the Agency IT Plan (MCA 2-17-524(3)(b)).
- Please detail progress made toward completing IT projects identified under section 11 of your 2014 Agency IT Plan.
  - Your Agency plan can be found in your Agency folder located at https://ent-sp1.mt.gov/sites/bienrpt/_layouts/15/start.aspx#/Agency%20Information/Forms/AllItems.aspx.
- Please include project cost, schedule and completion information.

ITEM	DESCRIPTION	ACTUAL AS OF JUNE 30, 2016
Project Name	CSI Document Imaging and Management	
Agency / Division	SAO	
Project / Program purpose and objectives	The implementation of document imaging and management is a critical business function to maintain a consistent and reliable source for agency staff to assist Security and Insurance industry customers with requests. The document management will allow for CSI to remain in compliance with state and federal laws in regard to document retention.	
Estimated start date	December 2013	Completed
Estimated cost		
Funding source – 1	2013 Legislative Appropriations	
Funding source – 2	Agency Budget	
Funding source – 3		
Annual costs upon completion	164,207	$123,909
Status of the project as of June 30, 2016. Indicate % completed and status of funds expended.	Project was completed April 2014 September 2014 - $15,074 annual fee for maintenance and support September 2015 - $15,524 annual fee for maintenance and support	

ITEM	DESCRIPTION	ACTUAL AS OF JUNE 30, 2016
Project Name	CSI Legacy System Replacement	
Agency / Division	SAO	
Project / Program purpose and objectives	This project is to replace a legacy system that supports both the Securities and Insurance divisions, providing a reliable platform for CSI staff to perform day to day operations critical to success.	
Estimated start date	April 2014	Scheduled for completion December 31, 2016
Estimated cost		
Funding source – 1	2013 Legislative Appropriations	
Funding source – 2	Agency Budget	
Funding source – 3		
Annual costs upon completion		
Status of the project as of June 30, 2016. Indicate % completed and status of funds expended.	Scheduled for completion December 31, 2016 Project was developed in-house	

Section 3: An inventory of agency information services, equipment and proprietary software (MCA 2-17-524(3)(c)).
To collect data on "information services" and "proprietary software", we are leveraging LDRPS (L10). Our goal is to utilize and maintain LDRPS as the authoritative source for this information.

- Please verify the information in the LDRPS Spreadsheet, making any necessary updates or additions.
- Please email your updated spreadsheet to Dawn Pizzini, subject matter expert, at dpizzini@mt.gov.
  - o The LDRPS spreadsheet can be found in your Agency folder located at https://ent-sp1.mt.gov/sites/bienrpt/_layouts/15/start.aspx#/Agency%20Information/Forms/AllItems.aspx.
  - o We will pull a final LDRPS Spreadsheet for submission as part of the Biennial Report based on your Agency's input.

For "equipment", we are utilizing the standard Agency Inventory Template Spreadsheet we have used for past biennial reporting and that we are currently using to gather information for the IT Convergence project. The spreadsheet can be found in your Agency folder located at https://ent-sp1.mt.gov/sites/bienrpt/_layouts/15/start.aspx#/Agency%20Information/Forms/AllItems.aspx.

- If you **have** already provided your inventory for the IT Convergence project, please fill out the last tab labeled **DEVICES**.
  - o Please review the entire workbook for accuracy and make any necessary changes.
- If you **have not** provided this inventory, please fill out the entire workbook.

Questions can be directed to:

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Please complete this report by close of business October 25, 2016.
Please upload your final Performance Report and all applicable spreadsheets to your individual Agency folder in the Biennial Reporting SharePoint Site found at:
https://ent-sp1.mt.gov/sites/bienrpt/_layouts/15/start.aspx#/Agency%20Information/Forms/AllItems.aspx.